

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

19036/37157

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/763712

INTERNATIONAL APPLICATION NO.

PCT/JP99/04552

INTERNATIONAL FILING DATE

24 August 1999

PRIORITY DATE CLAIMED

24 August 1998

TITLE OF INVENTION

NOVEL COLLECTIN

APPLICANT(S) FOR DO/EO/US

WAKAMIYA, Nobutaka

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

## Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

Computer Readable Copy of Sequence Listing

Statement Regarding Sequence Listing Pursuant to 37 C.F.R. 1.825 (a) and 1.825(b)

Return Receipt Postcard

U.S. APPLICATION NO. (IF KNOWN, SEE 09/763712)		INTERNATIONAL APPLICATION NO. PCT/JP99/04552		ATTORNEY'S DOCKET NUMBER 19036/37157	
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21. The following fees are submitted:

<b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1,000.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00 <p style="text-align: center;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p>				<b>CALCULATIONS PTO USE ONLY</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				\$0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	59 - 20 =	0 19	x \$18.00	\$0.00	
Independent claims	4 - 3 =	0 1	x \$80.00	\$0.00	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				\$0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$860.00	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/>				\$0.00	
<b>SUBTOTAL =</b>				\$860.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$0.00	
<b>TOTAL NATIONAL FEE =</b>				\$860.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				\$0.00	
<b>TOTAL FEES ENCLOSED =</b>				\$860.00	
				Amount to be: refunded	\$
				charged	\$

- ☒ A check in the amount of **\$860.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **13-2855** A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

HOPKINS, Mark H.  
MARSHALL, O'TOOLE, GERSTEIN, MURRAY & BORUN  
6300 Sears Tower  
233 S. Wacker Drive  
Chicago, Illinois 60606  
U.S.

Mark H. Hopkins  
SIGNATURE

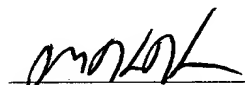
Mark H. Hopkins  
NAME

44,775  
REGISTRATION NUMBER

2/26/01  
DATE

PATENT APPLICATION

IN THE UNITED STATES PATENT  
AND TRADEMARK OFFICE

Applicants:	) "EXPRESS MAIL" mailing label No.
WAKAMIYA, N.	) EL564457185US
U.S. National Phase of International	) Date of Deposit:
Application No. PCT/JP99/04552 filed under	) February 26, 2001
35 U.S.C. §371	) I hereby certify that this paper (or fee) is being
International Filing Date: 24 August 1999	) deposited with the United States Postal Service
Filed: Herewith	) "EXPRESS MAIL POST OFFICE TO
For: Novel Collectin	) ADDRESSEE" service under 37 CFR §1.10 on
Group Art Unit: Unknown	) the date indicated above and is addressed to:
Examiner: Unknown	) Commissioner for Patents, Washington, D.C.
Attorney Docket No. 19036/37157	) 20231
	) 
	) Mark H. Hopkins

CERTIFICATION UNDER 37 CFR 1.10

Box PCT  
Commissioner for Patents  
Washington, D.C. 20231

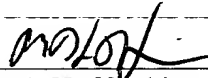
I hereby certify the attached items are being deposited with the United States Postal Service on February 26, 2001 in an envelope addressed to Box PCT, Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing No. EL564457185US:

- a. Transmittal letter to the United States Designated/Elected Office (DO/EO/US) concerning a filing under 35 U.S.C. 371 with enclosures;
- b. Translation of the International Application (47 pages specification: 16 pages claims; 1 page abstract; 17 pages sequence listing; 11 pages figures);
- c. Copy of the International Search Report;
- d. Copy of the International Preliminary Examination Report;
- e. Computer-readable Copy of the Sequence Listing;
- f. Preliminary Amendment A;

09/763712

JC02 [REDACTED] PGT/PTO 26 FEB 2001

- g. Statement Regarding Sequence Listing Pursuant to 37 C.F.R.  
§1.825(a) and §1.825(b);
- h. A check in the amount of \$860; Check No. 63153;

  
\_\_\_\_\_  
Mark H. Hopkins

Date: February 26, 2001